

UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	P9538
	First Inventor	Charles R. Hellier
	Title	PROACTIVE POLICY-DRIVEN SERVICE PROVISIONING FRAMEWORK
	Express Mail Label No.	EV331754052US

22386 U.S. PTO
 10/715991
 111803



APPLICATION ELEMENTS	Mail Stop Patent Application Commissioner for Patents Alexandria, VA 22313-1450
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- | | |
|--|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form
(submit an original and a duplicate for fee processing)
2. <input type="checkbox"/> Applicant claims small entity status.
See 37 CFR 1.27
3. <input checked="" type="checkbox"/> Specification [total pages <u>22</u>]
(preferred Arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R&D
- Reference to sequence listing, a table, or a
computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. <input checked="" type="checkbox"/> Drawing(s) [total sheets <u>4</u>]
5. <input checked="" type="checkbox"/> Oath or Declaration [total pages <u>2</u>]
a. <input checked="" type="checkbox"/> Newly executed (original or copy)
b. <input type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 18 completed)
i. <input type="checkbox"/> DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). | 6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76)
7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table
or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. <input type="checkbox"/> Computer Readable Form
b. <input type="checkbox"/> Specification Sequence Listing on:
i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or
ii. <input type="checkbox"/> paper
c. <input type="checkbox"/> Statements verifying identity of above copies
<div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> ACCOMPANYING APPLICATION PARTS
 9. <input checked="" type="checkbox"/> Assignment Papers (coversheet/document(s))
 10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement <input checked="" type="checkbox"/> Power of
 (when there is an assignee) Attorney
 11. <input type="checkbox"/> English Translation Document
 12. <input type="checkbox"/> IDS & Form PTO/SB/08A <input type="checkbox"/> Copies of IDS
 Citations
 13. <input type="checkbox"/> Preliminary Amendment
 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)
 15. <input type="checkbox"/> Certified Copy of Priority Document(s)
 16. <input type="checkbox"/> Nonpublication Request Under 35 USC
 122(b)(2)(B)(i).Applicant must attach form
 PTO/SB/35
 17. <input checked="" type="checkbox"/> Other: Certificate of Mailing </div> |
|--|---|

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: /

Prior application information: Examiner: _____ Group/Art Unit: _____

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **32658** or ☐ Correspondence address below

Name					
Address					
City		State		ZIP	
Country		Telephone		Fax	

Name (Print/Type)	William J. Kubida	Registration No.	29,664
(Signature)		Date	18 November 2003



18379 U.S. PTO

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (10-03)
Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**FEE TRANSMITTAL**
for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 810**Complete if Known**

Application Number	
Filing Date	Herewith
First Named Inventor	Charles R. Hellier
Examiner Name	
Art Unit	
Attorney Docket No.	

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money ☐ Other ☐ None
Order☐ Deposit Account:Deposit
Account
Number 50-1123Deposit
Account
Name Hogan & Hartson LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments
☐ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee
to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	770
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ 770)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	20	-20 **	=	0	X	Fee from below	=	0
Independent Claims	3	-3 **	=	0	X		=	0
Multiple Dependent					X		=	0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	William J. Kubisa	Registration No. (Attorney/Agent)	29,664	Telephone	719-448-5909
Signature				Date	11/16/2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

EXPRESS MAIL NO. EV331754052US
Attorney Docket No. P9538
Client/Matter No. 80168.0338

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Charles R. Hellier

Serial No. NEW

Filed: Herewith

For: PROACTIVE POLICY-DRIVEN
SERVICE PROVISIONING FRAMEWORK

CERTIFICATE OF MAILING BY EXPRESS MAIL

Mail Stop PATENT APPLICATION
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal;
2. Fee Transmittal with \$770 filing fee;
3. Utility Patent Application;
4. Executed Combined Declaration and Power of Attorney;
5. 4 sheets of drawings;
6. Recordation Form Cover Sheet PTO 1595 with Executed Assignment and Recording Fee of \$40.00;
7. Return postcard; and
8. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail", Mailing Label No. EV331754052US, with the United States Postal Service, addressed to Mail Stop PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, 18 November 2003.

18 November 2003

Date

18 November 2003

Date

Mailer

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